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PTO/SB/21 (09-04)

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TRANSMITTAL FORM

Application Number 10/676,318

Filing Date October 1, 2003

First Named Inventor Johnston

Art Unit 3624

Examiner Name Charles Kyle

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Attorney Docket Number 006119.00010

ENCLOSURES (check all that apply)

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Signature

William J. Allen 51,393

Printed Name

Charles L. Miller

Date

March 25, 2005

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Attorney Docket No. 006119.00010)

In re U.S. Patent Application of: Johnston)
Application No. 10/676,318) Examiner: T/B/D
Filed: October 1, 2003) Group Art Unit: 3624
For: ORDER RISK MANAGEMENT)
SYSTEM)

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
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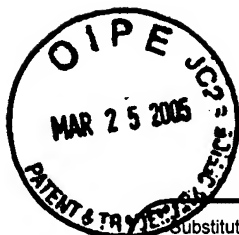
Pursuant to 37 CFR §§1.97-1.98, Applicants wish to make the following references listed on the enclosed Form PTO/SB/08a of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 CFR §1.56.

Applicants believe there is no fee due in connection with this Information Disclosure statement, however, the Commissioner is hereby authorized to charge any fees that may be due or credit any overpayment of fees to our Deposit Account No. 19-0733.

Respectfully submitted,

Dated: March 25, 2005

By: William J. Allen 51,393
Charles L. Miller
Registration No. 43,805
BANNER & WITCOFF, LTD.
10 South Wacker Drive
Suite 3000
Chicago, IL 60606
Telephone: 312-463-5000
Facsimile: 312-463-5001



PTO/SB/08a (08-03)

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STATEMENT BY APPLICANT**

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Sheet 1 of 3

Complete if Known

Application Number	10/676,318
Filing Date	October 1, 2003
First Named Inventor	Johnston
Art Unit	3624
Examiner Name	T/B/D
Attorney Docket Number	006119.00010

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		"X_Trader Platform" [retrieved on 2004/03/18] Retrieved from the internet URL< http://www.tradingtechnologies.com/blue_xtrader.html	
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By: *Nancy Munn*
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In the Application of: Scott Johnston, et al.

Serial No.: 10/676,318

Filing Date: October 1, 2003

Title: ORDER RISK MANAGEMENT SYSTEM

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- X Information Disclosure Statement
- X Form PTO/SB/08A (3 pages)
- X Copies of non-patent references
- X Return Postcard

Attorney Docket No. 006119.00010